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| APPLICATION NO. | FILING DATE | FIRST NAMED INVENTOR | ATTORNEY DOCKET NO. | CONFIRMATION NO. |
|-----------------|-------------|----------------------|---------------------|------------------|
| 09/864,045      | 05/23/2001  | Victor Wai Leung Lee | 225133600011        | 9971             |

7590 03/19/2004

John V. Biernacki, Esq.  
Jones, Day, Reavis & Pogue  
North Point, 901 Lakeside Avenue  
Cleveland, OH 44114

EXAMINER

LAO, TIM P

| ART UNIT | PAPER NUMBER |
|----------|--------------|
|----------|--------------|

2655

DATE MAILED: 03/19/2004

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Please find below and/or attached an Office communication concerning this application or proceeding.

# Office Action Summary

Application No.

09/864,045

Applicant(s)

LEE ET AL.

Examiner

Tim Lao

Art Unit

2655

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

## Status

- 1) ☒ Responsive to communication(s) filed on 23 May 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

## Disposition of Claims

- 4) ☒ Claim(s) 1 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

## Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

## Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

## Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: \_\_\_\_\_

## DETAILED ACTION

### *Claim Rejections - 35 USC § 102*

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

2. Claim 1 is rejected under 35 U.S.C. 102(e) as being anticipated by Karaorman et al. (U.S. Patent 6,631,346 B1).

Claim 1

Karaorman et al. disclose:

A computer-implemented system (see Abstract) for speech recognition of a user speech input, comprising:

a language model (Grammar A, Fig.4: **140**) that contains probabilities (N-best tags & scores, Fig.4: **164**) used to recognize speech (Input Sentence **118**); (col.6, ll.8-25)  
{Tags & scores associated with Grammar A **140** is generated by Tag & Score Generator, Fig.4: **160**. (col.6: ll.24-25)}

an application domain description data store (Fig.4: Speech Understanding module **28**, Knowledge Database **63**, Domain-Specific **65**) that contains a mapping (e.g., association) between pre-selected words (e.g., shirt, color, size, prices: col.3, ll.58-63) and domains (e.g., purchasing merchandise: col.3, ll.29-32);  
{The speech understanding module **28** with the knowledge database **63** encodes the association between pre-selected words and domains. (col.3, ll.19-25)}

a probability adjustment unit connected to the application domain description data store that selects at least one domain based upon the user speech input, said probability

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|  | adjustment unit adjusting the probabilities (e.g., weights associated with the scoring: col.6, ll.26-28) of the language model (Grammar A 140) to recognize the user speech input (Input Sentence 118) based upon the words (e.g., shirt, color, size, prices: col.3, ll.58-63) that are mapped to the selected domain (e.g., purchasing merchandise: col.3, ll.29-32) .<br>{A probability adjustment unit is inherently resided within the speech recognition system for the adjustment of probabilities, e.g., the weights associated with N-best scoring.} |
|--|---|

### ***Conclusion***

3. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

#### U.S. Patent Documents:

- [1] 6,526,380 B1     02/2003     Thelen et al.
- [2] 6,418,431 B1     07/2002     Mahajan et a.
- [3] 6,571,210 B2     05/2003     Hon et al.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tim Lao whose telephone number is 703-305-8955.

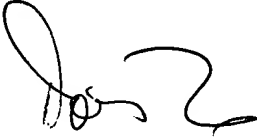
The examiner can normally be reached on M-F, 8:30am-5pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Doris To can be reached on 703-305-4827. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Tim Lao  
Examiner  
Art Unit 2655

TL  
03/08/04

  
DORIS H. TO 3/17/04  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 2600